

Docket No.: 62225-160

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Syed K. QURAISHI, et al.

Serial No.: 09/827,333

Filed: April 06, 2001

Group Art Unit: 2163

Examiner: not assigned

For: RULES ENGINE HAVING USER ACTIVATED RULES OF SELECTABLE SCOPE AND SELECTABLE OUTCOMES

THE COMMISSIONER FOR PATENTS AND TRADEMARKS
Washington, DC 20231

Dear Sir:

Transmitted herewith is an Preliminary Amendment in the above identified application.

☐
☐
☐

No additional fee is required.

Applicant is entitled to small entity status under 37 CFR 1.27

Also attached:

RECEIVED

JAN 28 2003

GROUP 3600

The fee has been calculated as shown below:

	NO. OF CLAIMS	HIGHEST PREVIOUSLY PAID FOR	EXTRA CLAIMS	RATE	FEE
Total Claims	28	26	2	\$18.00 =	\$36.00
Independent Claims	8	6	2	\$84.00 =	\$168.00
Multiple claims newly presented					\$0.00
Fee for extension of time					\$0.00
Total of Above Calculations					\$204.00



Please charge my Deposit Account No. 500417 in the amount of \$204.00. An additional copy of this transmittal sheet is submitted herewith.



The Commissioner is hereby authorized to charge payment of any fees associated with this communication or credit any overpayment, to Deposit Account No. 500417, including any filing fees under 37 CFR 1.16 for presentation of extra claims and any patent application processing fees under 37 CFR 1.17.

Respectfully submitted,

MCDERMOTT, WILL & EMERY

Keith E. George

Keith E. George

Registration No. 34,111

600 13th Street, N.W.
Washington, DC 20005-3096
(202) 756-8000 KEG:apr
Facsimile: (202) 756-8087
Date: January 22, 2003

~~01/23/2003 AOSMANI 00000022 500417 09827333~~

~~01 FC:1202 -36.00 CH~~
~~02 FC:1201 -168.00 CH~~



2/12/03
PH
7/10

Docket No.: 62225-160

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Syed K. QURAISHI, et al.

Serial No.: 09/827,333

Group Art Unit: 2163

Filed: April 06, 2001

Examiner: not assigned

For: RULES ENGINE HAVING USER ACTIVATED RULES OF SELECTABLE SCOPE
AND SELECTABLE OUTCOMES

PRELIMINARY AMENDMENT

Commissioner for Patents
Washington, DC 20231

RECEIVED

JAN 28 2003

GROUP 3600

Sir:

Prior to examination of the above-identified application, please amend the specification
as follows:

IN THE CLAIMS:

Please add new claims 27 and 28 as follows:

27. (New) A rules engine comprising:

- a. an input circuit for receiving at least one transaction; and
- b. a storage medium having at least one rule relating to identification of compliance

violations related to a transaction, the at least one rule triggering an action for managing risk.

28. (New) Apparatus comprising:

- a. a client process for generating and sending a transaction containing an order for
execution;

01/23/2003 AOSMAN1 00000022 09827333

01 FC:1202 36.00 CH
02 FC:1201 168.00 CH